

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|----------------------|--|----------------|-------------|
| Application Number | 09/994465 | Docket Number | DT.0103-CP1 |
| Filed | 11/26/01 | Group Art Unit | 3629 |
| Examiner | RICHARD WOO | Customer No. | 23669 |
| Application Title | INTERFACE FOR SELECTIVE MERCHANDISE PRICE OPTIMIZATION | | |
| First Named Inventor | JOHN CLOSE | | |

FACSIMILE COVER SHEET

To: Commissioner for Patents - Central Fax Number
Fax Number: 571-273-8300

RECEIVED
CENTRAL FAX CENTER
AUG 09 2005

From: Huffman Patent Group, LLC
Fax Number: 413-653-2743

Pages: 848 (including this cover sheet)

Dear Sir:

Please accept the attached correspondence for the above-identified matter. I hereby certify under 37 CFR 1.8 that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on the date of signature shown below.

Respectfully submitted,
HUFFMAN PATENT GROUP, LLC

/ Richard K. Huffman /

By _____

RICHARD K. HUFFMAN, P.E.
Registration No. 41,082
Tel: (719) 575-9998

08 / 08 / 2005

Date _____

RECEIVED
CENTRAL FAX CENTER
AUG 09 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|----------------------|--|----------------|-------------|
| Application Number | 09/994465 | Docket Number | DT.0103-CP1 |
| Filed | 11/26/01 | Group Art Unit | 3629 |
| Examiner | RICHARD WOO | Customer No. | 23669 |
| Application Title | INTERFACE FOR SELECTIVE MERCHANDISE PRICE OPTIMIZATION | | |
| First Named Inventor | JOHN CLOSE | | |

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

VIA FACSIMILE: 571-273-8300

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Attached hereto is Form PTO-1449 listing documents believed relevant to the subject application. It is respectfully requested that the examiner review the information disclosed herein in detail, independently evaluate each item carefully in the consideration of the pending claims, and return an initialed copy of each form to the undersigned practitioner.

This disclosure statement should not be construed as a representation that a search has been made, that no other material information as defined in 37 CFR 1.56(a) exists, or as an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR 1.56(b) or is available as a reference under 35 U.S.C. §102 *et seq.* Applicant reserves the right to swear behind or otherwise disprove the alleged "prior" nature of any art cited should the facts support and the situation warrant such an action.

It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97, and 1.98, and the Manual of Patent Examining Procedures §609. If for some reason the examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

Some of the enclosed documents may have markings thereon. No significance is intended to be attached to the markings.

I hereby certify under 37 CFR 1.8 that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on the date of signature shown below.

Respectfully submitted,
HUFFMAN PATENT GROUP, LLC

/ Richard K. Huffman/

By _____

RICHARD K. HUFFMAN, P.E.

Reg. No. 41,082
Tel.: (719) 575-9998

08 / 08 / 2005

Date _____

PTO/SB/08A (08-03)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|--|---|----|---|--------------------------|-------------|
| Substitute for form 1449/APTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/994465 |
| | | | | Filing Date | 11/26/2001 |
| | | | | First Named Inventor | JOHN CLOSE |
| | | | | Group Art Unit | 3629 |
| | | | | Examiner Name | RICHARD WOO |
| Sheet | 1 | of | 6 | Attorney Docket Number | DT.0103-CP1 |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ^{2/(if known)} | | | |
| | | 6308162 | 10-23-2001 | Ouimet et al. | |
| | | 5063506 | 11-05-1991 | Brockwell et al. | |
| | | 5117354 | 05-26-1992 | Long et al. | |
| | | 5249120 | 09-28-1993 | Michael Foley | |
| | | 5377095 | 12-27-1994 | Maeda et al. | |
| | | 5712985 | 01-27-1998 | Lee et al. | |
| | | 5822736 | 10-13-1998 | Hartman et al. | |
| | | 5873069 | 02-16-1999 | Reuhl et al. | |
| | | 5878400 | 03-02-1999 | Thomas J. Carter, III | |
| | | 5918209 | 06-29-1999 | Campbell et al. | |
| | | 5987425 | 11-16-1999 | Hartman et al. | |
| | | 6009407 | 12-28-1999 | Amit Garg | |
| | | 6029139 | 02-22-2000 | Cunningham et al. | |
| | | 6032123 | 02-29-2000 | Joel Jameson | |
| | | 6032125 | 02-29-2000 | Hideyuki Ando | |
| | | 6078893 | 06-20-2000 | Ouimet et al. | |
| | | 6125355 | 09-26-2000 | Bekaert et al. | |
| | | 6205431 | 03-20-2001 | Willemain et al. | |
| | | 5459656 | 10-17-1995 | Fields et al. | |
| | | 5299115 | 03-29-1994 | Fields et al. | |
| | | 5799286 | 08-25-1998 | Morgan et al. | |
| | | 5732401 | 03-24-1998 | David W. Conway | |
| | | 6725208 | 04-20-2004 | Hartman et al. | |
| | | 6684193 | 01-27-2004 | Chavez et al. | |
| | | 20030110072 | 06-12-2003 | Delurgio et al. | |

| | |
|-----------------------|--------------------|
| Examiner Signature | Date Considered |
|-----------------------|--------------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)
 Approved for use through 10/31/2002. OMB 0651-0031
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|--|---|----|--------------------------|------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | Complete if Known | | |
| | | | Application Number | 09/994465 | |
| | | | Filing Date | 11/26/2001 | |
| | | | First Named Inventor | JOHN CLOSE | |
| | | | Group Art Unit | 3629 | |
| | | | Examiner Name | RICHARD WOO | |
| Sheet | 2 | of | 6 | Attorney Docket Number | DT.0103-CP1 |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|-----------------------|---|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ^{2(if known)} | | | |
| | | 6553352 | 04-22-2003 | Delurgio et al. | |
| | | 6456986 | 09-24-2002 | Boardman et al. | |
| | | 6397193 | 05-28-2002 | Walker et al. | |
| | | 6341269 | 01-22-2002 | Dulaney et al. | |
| | | 6341268 | 01-22-2002 | Walker et al. | |
| | | 6173345 | 01-09-2001 | William A. Stevens | |
| | | 6134534 | 10-17-2000 | Walker et al. | |
| | | 6052686 | 04-18-2000 | Fernandez et al. | |
| | | 6044357 | 03-28-2000 | Amit Garg | |
| | | 5933813 | 08-03-1999 | Teicher et al. | |
| | | 5790643 | 08-04-1998 | Gordon et al. | |
| | | 5765143 | 06-09-1998 | Sheldon et al. | |
| | | 3017610 | 01-16-1962 | Auerbach et al. | |
| | | 20020165834 | 11-07-2002 | Delurgio et al. | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | AA | ROSSI et al. "Making Sense of Scanner Data." <i>Harvard Business Review</i> . Reprint F00205. 2000. | |
| | AB | BUCKLIN et al. "Brand Choice, Purchase Incidence, and Segmentation: An Integrated Modeling Approach." <i>Journal of Marketing Research</i> . May 1992, pp. 201-215. VOL. XXIX. | |
| | AC | SMITH et al. "Bayesian Semiparametric Regressions: An Exposition and Application to Print Advertising." January 3, 1997. Australian Graduate School of Management, University of New South Wales, Sydney 2052, Australia. | |
| | AD | BLATTBERG et al. "Manage Marketing by the Customer Equity." <i>Harvard Business Review</i> . July-August 1996. pp.136-144. | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|--|---|----|---|--------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/994465 |
| | | | | Filing Date | 11/26/2001 |
| | | | | First Named Inventor | JOHN CLOSE |
| | | | | Group Art Unit | 3629 |
| | | | | Examiner Name | RICHARD WOO |
| Sheet | 3 | of | 6 | Attorney Docket Number | DT.0103-CP1 |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | AE | CHRISTEN et al. "Using Market-Level Data to Understand the Effectiveness of Promotional Activities." December 22, 1995. | |
| | AF | ROSS LINK. "Are Aggregate Scanner Data Models Biased?" <i>Journal of Advertising Research</i> . September/October 1995. pp.RC8-RC12, ARF. | |
| | AG | RUSSELL et al. "Understanding Brand Competition Using Micro and Macro Scanner Data." <i>Journal of Marketing Research</i> . VOL. XXXI (May 1994). Pp. 289-303. | |
| | AH | JOHN PHILIP JONES. "The Double Jeopardy of Sales Promotions." <i>Harvard Business Review</i> . September - October 1999. pp. 145-152. | |
| | AI | BUZZELL et al. "The Costly Bargain of Trade Promotion." <i>Harvard Business Review</i> . Reprint 90201. March-April 1990. pp. 1-9 | |
| | AJ | CURRY et al. "BVAR as a Category Management Tool: An Illustration and Comparison with Alternative Techniques." <i>Journal of Forecasting</i> . VOL. 14, ISS NO. 3 (1995). Pp. 181-199. | |
| | AK | HOCH et al. "Store Brands and Category Management." The Wharton School, University of Pennsylvania. March 1998. pp. 1-38. | |
| | AL | HARDIE et al. "Attribute-based Market Share Models: Methodological Development and Managerial Applications." The Wharton School, University of Pennsylvania. Working Paper 98-009, pp. 1-48. 1998. | |
| | AM | ALAN MERCER. "Non-Linear Price Effects." <i>Journal of the Market Research Society</i> . Dated 7/1/96. p. 227. | |
| | AN | ROCKNEY G. WALTERS. "Assessing the Impact of Retail Price Promotions on Product Substitution, Complementary Purchase and Interstore Sales Displacement." <i>Journal of Marketing</i> . Vol. 55, April 1991. pp. 17-28. | |
| | AO | BLATTBERG et al. "How Promotions Work." <i>Marketing Science</i> . Vol. 14, No. 3, Part 2 of 2. 1995. pp. G122-G132. | |
| | AP | GUADAGNI et al. "A Logit Model of Brand Choice Calibrated on Scanner Data." <i>Marketing Science</i> . Vol. 2, No. 3, Summer 1983. pp.203-238. | |
| | AQ | COOPER et al. "Standardizing Variables in Multiplicative Choice Models." <i>Journal of Consumer Research</i> . Vol. 10. June 1983. pp 96-108. | |
| | AR | BRIDGES et al. "A High-Tech Product Market Share Model with Customer Expectations." <i>Marketing Science</i> . Vol. 14, No. 1, Winter 1995. pp. 61-81. | |
| | AS | BATSELL et al. "A New Class of Market Share Models." <i>Marketing Science</i> . Vol. 4, No. 3, Summer 1985. pp. 177-198. | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|--|---|----|---|--------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/994465 |
| | | | | Filing Date | 11/26/2001 |
| | | | | First Named Inventor | JOHN CLOSE |
| | | | | Group Art Unit | 3629 |
| | | | | Examiner Name | RICHARD WOO |
| Sheet | 4 | of | 6 | Attorney Docket Number | DT.0103-CP1 |

| NON PATENT LITERATURE DOCUMENTS | | | | |
|---------------------------------|-----------------------|--|----------------|--|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² | |
| | AT | JAGMOHAN S. RAJU. "The Effect of Price Promotions on Variability in Product Category Sales." <i>Marketing Science</i> . Vol. 11, No. 3. Summer 1992. pp. 207-220. | | |
| | AU | ROBERT J. DOLAN. "How Do You Know When the Price is Right?" <i>Harvard Business Review</i> . September - October 1995. pp. 5-11. | | |
| | AV | FUSUN GONUL. "Modeling Multiple Sources of Heterogeneity in Multinomial Logit Models: Methodological and Managerial Issues." <i>Marketing Science</i> . Vol. 12, No. 3. Summer 1993. pp. 213-229. | | |
| | AW | SCHINDLER et al. "Increased Consumer Sales Response through Use of 99-Ending Prices." <i>Journal of Retailing</i> . 6/1/96. p. 187. | | |
| | AX | MULHERN et al. "The Relationship Between Retail Price Promotions and Regular Price Purchases." <i>Journal of Marketing</i> . Vol. 59, October 1995. pp. 83-90. | | |
| | AY | DEIGHTON et al. "The Effects of Advertising on Brand Switching and Repeat Purchasing." <i>Journal of Marketing Research</i> . Vol. XXXI, February 1994. pp. 28-43. | | |
| | AZ | SUNIL GUPTA. "Reflections on 'Impact of Sales Promotions on When, What and How Much to Buy.'" <i>Journal of Marketing Research</i> . Vol. XXX, November 1993. pp. 522-24. | | |
| | BA | RICHARD A. BRIESCH. "Does It Matter How Price Promotions Are Operationalized?" <i>Marketing Letters</i> . 8:2 (1997). Pp. 167-181. | | |
| | BB | KIM et al. "Modeling the Distribution of Price Sensitivity and Implications for Optimal Retail Pricing." <i>Journal of Business & Economic Statistics</i> . July 1995. Vol. 13, No. 3 | | |
| | BC | DILLON et al. "A Segment-level Model of Category Volume and Brand Choice." <i>Marketing Science</i> . Vol. 15, No. 1, 1996. pp. 38-59. | | |
| | BD | HOCH et al. "Determinants of Store-Level Price Elasticity." <i>Journal of Marketing Research</i> . Vol. XXXII (February 1995). Pp. 17-29. | | |
| | BE | ABRAHAM et al. "An Implemented System for Improving Promotion Productivity Using Store Scanner Data." <i>Marketing Science</i> . Vol. 12, No. 3, Summer. 1993. | | |
| | BF | FADER et al. "Modeling Consumer Choice Among SKUs." <i>Journal of Marketing Research</i> . Vol. XXXIII (November 1996.) pp. 442-452. | | |
| | BG | "PCT International Search Report" Application Number PCT/US03/30488. Mailed January 28, 2004. | | |
| | BH | "PCT International Search Report" Application Number PCT/US02/36710. Mailed July 21, 2003. | | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|--|---|----|---|--------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/994465 |
| | | | | Filing Date | 11/26/2001 |
| | | | | First Named Inventor | JOHN CLOSE |
| | | | | Group Art Unit | 3629 |
| | | | | Examiner Name | RICHARD WOO |
| Sheet | 5 | of | 6 | Attorney Docket Number | DT.0103-CP1 |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | BI | "PCT International Search Report" Application Number PCT/US02/14977. Mailed May 5, 2003. | |
| | BJ | "Report of Novelty Search" by Patentec. Dated July 25, 2001. | |
| | BK | "Report of Novelty Search" by Patentec. Dated February 9, 2001. | |
| | BL | BOATWRIGHT et al. "Account-Level Modeling for Trade Promotion: An Application of a Constrained Parameter Hierarchical Model." <i>Journal of the American Statistical Association</i> . Vol. 94, No. 448. December 1999. pp. 1063-1073. | |
| | BM | MONTGOMERY et al. "Estimating Price Elasticities with Theory-Based Priors." <i>Journal of Marketing Research</i> . Vol. XXXVI. November 1999. pp. 413-423. | |
| | BN | <i>Merriam Webster's Collegiate Dictionary</i> . 10th Edition. Pg 585. Merriam-Webster Incorporated. 1999. | |
| | BO | HERNANDEZ et al. "Real-World Data is Dirty: Data Cleansing and the Merge/Purge Problem." <i>Data Mining and Knowledge Discovery</i> . Vol. 2. Issue 1. January 1998. | |
| | BP | ALAN L. MONTGOMERY. "Creating Micro-Marketing Pricing Strategies Using Supermarket Scanner Data." <i>Marketing Science</i> . Vol. 16, No. 4, 1997. pp. 315-337. | |
| | BQ | JOHN CORNELIUS YOEMAN JR. "The Optimal Offering Price for Underwritten Securities." 1993. Volume 55/01-A of <i>Dissertation Abstracts International</i> . Page 4743 (Abstract Only). | |
| | BR | BLATTBERG et al. "Shrinkage Estimation of Price and Promotional Elasticities: Seemingly Unrelated Equations." <i>Journal of the American Statistical Association</i> . Vol. 86, No. 414. June 1991. pp. 304-315. | |
| | BS | DYER et al. "Case Studies in Marketing Decisions Using Expert Choice." <i>Decision Support Software</i> . 1988. Pages 2-7, 73-108. | |
| | BT | ARNOLD ZELLNER. "On Assessing Prior Distributions and Bayesian Regression Analysis with G-Prior Distributions." Elsevier Science Publishers. 1986. pp. 233-243. | |
| | BU | A.F.M. SMITH. "A General Bayesian Linear Model." University of Oxford. April 1972. | |
| | BV | LINDLEY et al. "Bayes Estimates for the Linear Model." University College. December 1971. | |
| | BW | TIAO et al. "On the Bayesian Estimation of Multivariate Regression." University of Wisconsin. January 1964. | |
| | BX | ARNOLD ZELLNER. "An Efficient Method of Estimating Seemingly Unrelated Regressions and Tests for Aggregation Bias." University of Wisconsin. June 1962. | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|--|---|----|---|--------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/994465 |
| | | | | Filing Date | 11/26/2001 |
| | | | | First Named Inventor | JOHN CLOSE |
| | | | | Group Art Unit | 3629 |
| | | | | Examiner Name | RICHARD WOO |
| | | | | Attorney Docket Number | DT.0103-CP1 |
| Sheet | 6 | of | 6 | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | BY | CERF et al. "A Protocol for Packet Network Intercommunication." IEEE Transactions on Communications COM-22. May 1974. Pages 637-648. | |
| | BZ | T BERNERS-LEE. "Hypertext Markup Language 2.0 Working Papers." Nov. 1995. Pages 1-3. | |
| | CA | D FLANAGAN. "JavaScript: The Definitive Guide, 3rd Edition." published by O'Reilly in June 1998. ISBN: 1-56592-392-8. Section 14.8. | |
| | CB | JD LITTLE. "BRANDAID: A Marketing-Mix Model, Part 1: Structure." Operations Research. Vol 23, No. 4. July-August 1975. pp. 628-655. | |
| | CC | M. ABRAHAM. "Promoter: An Automated Promotion Evaluation System." Marketing Science. 1987. pp. 101-123. | |
| | | | |
| | | | |
| | | | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.